

CAU 2731

T.L. #3 + 17-17-00

PTO/SB/21 (modified)  
Approved for use through xx/xx/xx, OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

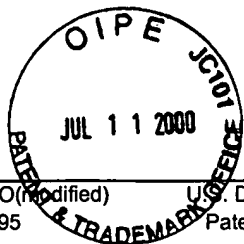
|  |  |                       |                        |      |
|--|--|-----------------------|------------------------|------|
| <b>TRANSMITTAL FORM</b><br><i>(to be used for all correspondence during pendency of filed application)</i> | U.S. Department of Commerce<br>Patent and Trademark Office | Application Number    | 09/240,919             |      |
|  |  | Filing Date           | January 29, 1999       |      |
|  |  | First Named Inventor  | Alex E. Henderson      |      |
|  |  | Group Art Unit Number | Not Yet Known          |      |
|  |  | Examiner Name         | 2731                   |      |
| Total Number of Pages in This Submission   |  | 7**                   | Attorney Docket Number | 3625 |

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| ENCLOSURES (check all that apply)   |   |
|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)<br><input type="checkbox"/> Check Enclosed                                    | <input type="checkbox"/> Issue Fee Transmittal  |
| <input checked="" type="checkbox"/> Return Receipt Postcard   | <input type="checkbox"/> Letter to Chief Draftsperson   |
| <input type="checkbox"/> Response to Notice to File Missing Parts   | <input type="checkbox"/> Formal Drawing(s):<br>[ ] Sheet(s) of Figure(s) [ ]                  |
| <input type="checkbox"/> Assignment & Recordation Cover Sheet   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences           |
| <input type="checkbox"/> Declaration  | <input type="checkbox"/> Appeal Communication to Group<br>(Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> Small Entity Statement   | <input type="checkbox"/> Certified Copy of Priority Document(s)                               |
| <input checked="" type="checkbox"/> Information Disclosure Statement & PTO-1449<br><input checked="" type="checkbox"/> Copies of IDS Cited References | <input type="checkbox"/> After Allowance Communication to Group                               |
| <input type="checkbox"/> Request for Corrected Filing Receipt   | <input type="checkbox"/>  |
| <input type="checkbox"/> Request for Correction of Recorded Assignment  | <input type="checkbox"/>  |
| <input type="checkbox"/> Amendment/Response: [ ] Page(s)  | <input type="checkbox"/>  |
| <input type="checkbox"/> After Final  | <input type="checkbox"/>  |
| <input type="checkbox"/> Status Request   | <input type="checkbox"/>  |
| <input type="checkbox"/> Revocation and Power of Attorney   | <input type="checkbox"/>  |
| <b>REMARKS:</b> ** "Total Number of Pages in this Submission" does not include cited references.  |   |

| SIGNATURE OF ATTORNEY OR AGENT |                                       |                      |
|--------------------------------|---------------------------------------|----------------------|
| Signature:                     |                                       |                      |
| Attorney/Reg. No.:             | Trinidad Arriola-Kern/Reg. No. 44,012 | Dated: June 30, 2000 |

| CERTIFICATE OF MAILING  |                       |                      |
|---|-----------------------|----------------------|
| I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10. |                       |                      |
| Signature:  |                       |                      |
| Typed or Printed Name:  | Trinidad Arriola-Kern | Dated: June 30, 2000 |
| Express Mail Mailing Number (optional):   |                       |                      |



0002/PTO(modified)  
Rev. 10/95 U.S. Department of Commerce  
Patent and Trademark Office

## FEE TRANSMITTAL

### TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = **(\$).00**

### Complete if Known

|                        |                   |
|------------------------|-------------------|
| Application Number     | 09/240,919        |
| Filing Date            | January 29, 1999  |
| First Named Inventor   | Alex E. Henderson |
| Group Art Unit         | 2731              |
| Examiner Name          | Not Yet Known     |
| Attorney Docket Number | 3625              |

### METHOD OF PAYMENT

#### 1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †
- ☐ Charge the Issue Fee set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) to the below mentioned deposit account.

Deposit Account Number: 19-2555  
Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

#### 2. ☐ Payment Enclosed:

☐ Check ☐ Other

### FEE CALCULATION (fees effective 11/12/98)

#### 1. FILING FEE

| Large Entity<br>Fee Code/Fee | Small Entity<br>Fee Code/Fee | Fee Description    | Fee Due              |
|------------------------------|------------------------------|--------------------|----------------------|
| 101/\$690                    | 201/\$345                    | Utility Filing     | <input type="text"/> |
| 106/\$310                    | 206/\$155                    | Design Filing      | <input type="text"/> |
| 108/\$690                    | 208/\$345                    | Reissue            | <input type="text"/> |
| 114/\$150                    | 214/\$75                     | Provisional Filing | <input type="text"/> |
| SUBTOTAL (1)                 |                              |                    | <b>(\$).00</b>       |

#### 2. CLAIMS

| Large Entity<br>Fee Code/Fee | Small Entity<br>Fee Code/Fee | Fee Description   |
|------------------------------|------------------------------|---|
| 103/\$18                     | 203/\$9                      | Claims in excess of 20                                  |
| 102/\$78                     | 202/\$39                     | Independent claims in excess of 3                       |
| 104/\$260                    | 204/\$130                    | Multiple dependent claim                                |
| 109/\$78                     | 209/\$39                     | Reissue independent claims over original patent         |
| 110/\$18                     | 210/\$9                      | Reissue claims in excess of 20 and over original patent |

#### 3. ADDITIONAL FEES

| Large Entity<br>Fee Code/Fee | Small Entity<br>Fee Code/Fee | Fee Description  | Fee Due              |
|------------------------------|------------------------------|--|----------------------|
| 105/\$130                    | 205/\$65                     | Surcharge - late filing fee or oath  | <input type="text"/> |
| 127/\$50                     | 227/\$25                     | Surcharge-late provisional filing fee or cover sheet                       | <input type="text"/> |
| 147/\$2,520                  | 147/\$2,520                  | For filing a request for reexamination                                     | <input type="text"/> |
| 115/\$110                    | 215/\$55                     | Extension for response within first month†                                 | <input type="text"/> |
| 116/\$380                    | 216/\$190                    | Extension for response within second month†                                | <input type="text"/> |
| 117/\$870                    | 217/\$435                    | Extension for response within third month†                                 | <input type="text"/> |
| 118/\$1,360                  | 218/\$680                    | Extension for response within fourth month†                                | <input type="text"/> |
| 128/\$1,850                  | 228/\$925                    | Extension for response within fifth month†                                 | <input type="text"/> |
| 119/\$300                    | 219/\$150                    | Notice of Appeal   | <input type="text"/> |
| 141/\$1,210                  | 241/\$605                    | Petition to revive unintentionally abandoned application                   | <input type="text"/> |
| 142/\$1,210                  | 242/\$605                    | Utility Issue Fee (Or Reissue)   | <input type="text"/> |
| 143/\$430                    | 243/\$215                    | Design Issue Fee   | <input type="text"/> |
| 122/\$130                    | 122/\$130                    | Petitions to the Commissioner  | <input type="text"/> |
| 123/\$50                     | 123/\$50                     | Petitions related to provisional applications                              | <input type="text"/> |
| 126/\$240                    | 126/\$240                    | Submission of Information Disclosure Statement                             | <input type="text"/> |
| 581/\$40                     | 581/\$40                     | Recording each patent assignment per property (times number of properties) | <input type="text"/> |
| 146/\$690                    | 246/\$345                    | Filing a submission after final rejection (37 CFR 1.129(a))                | <input type="text"/> |
| 149/\$690                    | 249/\$345                    | For each additional invention to be examined (37 CFR 1.129(b))             | <input type="text"/> |
| Other fee (specify):         |                              | <input type="text"/>   | <input type="text"/> |
| Other fee (specify):         |                              | <input type="text"/>   | <input type="text"/> |
| SUBTOTAL (3)                 |                              |  | <b>(\$).00</b>       |

| (Col. 1)   |                        | (Col. 2) |                                 | (Col. 3) |         | Fee | Fee Due |
|--|------------------------|----------|---------------------------------|----------|---------|-----|---------|
| For  | No. of Existing Claims | minus*   | Highest No. Previously Paid For | =        | Extra** |     |         |
| TOTAL  |                        | minus*   | 20 or 0                         | =        | x       |     |         |
| INDEP  |                        | minus*   | 3 or 0                          | =        | x       |     |         |
| [ ] First presentation of multiple dependent claim |                        |          |                                 |          |         |     |         |

\* Subtract the greater number of Col. 2

\*\* If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) **(\$).00**

### SUBMITTED BY

Typed or Printed Name **Trinidad Arriola-Kern**

Signature

### Complete (if applicable)

Reg. Number **44,012**

Date

**June 30, 2000**



PATENT

IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

APPLICANT(S): Alex E. Henderson and Walter E. Croft  
SERIAL NO.: 09/240,919  
FILING DATE: January 29, 1999  
TITLE: System and Method for Filtering Data  
EXAMINER: Not Yet Known  
GROUP ART UNIT: 2731  
ATTY. DKT. NO.: 3625

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JUL 13 2000  
GROUP 2700

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated:

*June 30, 2000*

By:

*Trinidad Arriola-Kern*  
Trinidad Arriola-Kern, Reg. No.: 44,012

COMMISSIONER FOR PATENTS  
WASHINGTON, DC. 20231

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. These references were cited in an international search report by the European Patent Office as international search authority. A copy is enclosed herewith of the search report and of each listed reference which may be material to the examination of this application, and with respect to which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. [SERIAL NUMBER], filed on [FILING DATE], and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).

The Information Disclosure Statement submitted herewith is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first official action on the merits, whichever event last occurred;  
OR
- ☒ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either:
  - (1) a final action under 37 CFR §1.113; OR
  - (2) a notice of allowance under 37 CFR §1.311; AND
- ☐ attached hereto is the fee of \$240, as set forth under 37 CFR §1.17(p), for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☒ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
  - ☒ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;  
OR
  - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement.
- OR
- ☐ before the payment of the issue fee but after the mailing date of the first to occur of either:
  - [1] a final action under 37 CFR § 1.113; OR

- [2] a notice of allowance under 37 CFR § 1.311; AND  
in accordance with the requirements of 37 CFR § 1.97(d):
- ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND
- ☐ Applicant hereby respectfully petitions for the consideration of the accompanying Information Disclosure Statement under 37 CFR § 1.97(d)(2); AND
- ☐ Applicant submits the petition fee of \$130 as set forth in 37 CFR § 1.17(i).

☒ Applicant submits that no fee is required for the consideration of the accompanying Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,  
ALEX E. HENDERSON AND  
WALTER E. CROFT

Dated: June 30, 2000

By: 

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